

## DECLARATION FOR PATENT APPLICATION

UNITED STATES

Docket No. NECW 19.349

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SEMICONDUCTOR MEMORY DEVICE AND MANUFACTURING METHOD THEREOF

the specification of which

(check one)

☒ is attached hereto☐ was filed on \_\_\_\_\_ as

Application Serial No. \_\_\_\_\_

and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

## Prior Foreign Application(s)

2001-013330Japan22/01/2001

## Priority Claimed

Yes ☒ No ☐

(Number)

(Country)

(Day/Month/Year Filed)

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)

(Filing Date)

(Status-patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status-patented, pending, abandoned)

I hereby appoint as my attorney and agent Aaron B. Karas, Reg. No. 18,923, Samson Helfgott, Reg. No. 23,072, Leonard Cooper, Reg. No. 27,625, Linda S. Chan, Reg. No. 42,400, Michael Markowitz, Reg. No. 30,659, Brian Myers, Reg. No. 49,947, Harris Wolin, Reg. No. 39,432, Shahan Islam, Reg. No. 32,507 and Emma Shleifer, Reg. No. 29,734 to prosecute this application and to transmit all business in the Patent and Trademark Office connected therewith.

Address all correspondence to:

Rosenman &amp; Colin LLP

575 Madison Avenue

New York, New York 10022-2585

Telephone No.: (212) 940-8800

Docket No. \_\_\_\_\_

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

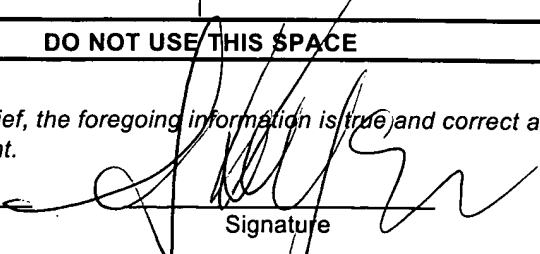
Full name of sole or first inventor Hidetaka NATSUME  
Inventor's Signature Hidetaka Natsume Date January 7, 2002  
Residence Tokyo, Japan Citizenship Japanese  
Post Office Address c/o NEC Corporation, 7-1, Shiba 5-chome, Minato-ku, Tokyo, Japan

Full name of second joint inventor, if any \_\_\_\_\_  
Second Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

Full name of third joint inventor, if any \_\_\_\_\_  
Third Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

Full name of fourth joint inventor, if any \_\_\_\_\_  
Fourth Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

Full name of fifth joint inventor, if any \_\_\_\_\_  
Fifth Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

Form PTO-1595 (Rev. 03/01) OMB No. 0651-0027 (exp. 5/31/2002) Tab settings ⇌ ⇌ ⇌	<b>RECORDATION FORM COVER SHEET</b> <b>PATENTS ONLY</b>	U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.		
1. Name of conveying party(ies): <div style="text-align: center;">Hidetaka NATSUME</div> Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies) <div style="text-align: center;">NEC CORPORATION</div> Name: _____ Internal Address: _____  <div style="text-align: center;">7-1, Shiba 5-chome,</div> Street Address: _____ <div style="text-align: center;">Minato-ku, Tokyo Japan</div> City: _____ State: _____ Zip: _____ Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____  Execution Date: _____ January 7, 2002		
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ January 15, 2002 <div style="display: flex; justify-content: space-between;"> <span>A. Patent Application No.(s)</span> <span>B. Patent No.(s)</span> </div> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
5. Name and address of party to whom correspondence concerning document should be mailed: Name: _____ Rosenman & Colin, LLP Internal Address: _____  <div style="text-align: center;">575 Madison Avenue</div> Street Address: _____ <div style="text-align: center;">15th Floor IP Department</div> <div style="display: flex; justify-content: space-between;"> <span>New York</span> <span>New York</span> <span>10022-2585</span> </div> City: _____ State: _____ Zip: _____	6. Total number of applications and patents involved: <span style="border: 1px solid black; padding: 0 5px;">1</span> 7. Total fee (37 CFR 3.41).....\$ 40.00 <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account  8. Deposit account number: <div style="text-align: center;">50-1290</div> (Attach duplicate copy of this page if paying by deposit account)	
<b>DO NOT USE THIS SPACE</b>		
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="text-align: center;">           Samson Helfgott            _____            Name of Person Signing         </div> <div style="text-align: center;">             _____            Signature         </div> <div style="text-align: center;">           January 14, 2002            _____            Date         </div> </div> Total number of pages including cover sheet, attachments, and documents: <span style="border: 1px solid black; padding: 0 5px;">3</span>		

# ASSIGNMENT

Docket No. NECW 19.349

WHEREAS, the below named inventor, ASSIGNOR, has made a certain new and useful invention in:  
SEMICONDUCTOR MEMORY DEVICE AND MANUFACTURING METHOD THEREOF

for which

(check one) ☒ an application is being filed concurrently herewith,

☐ an application for a Patent of the United States was filed on \_\_\_\_\_  
and given Application Serial No. \_\_\_\_\_

and WHEREAS, NEC Corporation

having a place of business at 7-1, Shiba 5-chome, Minato-ku, Tokyo, Japan

ASSIGNEE is desirous of obtaining the entire right, title and interest in, to and under the said invention and the said application.

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, the said ASSIGNOR has sold, assigned, transferred and set over, and by these presents does hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof, and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventor's certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

ASSIGNOR authorizes and requests the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument; and

ASSIGNOR covenants and agrees that he has full right to convey the entire interest herein assigned, and has not executed, and will not execute, any agreement in conflict herewith; and

ASSIGNOR further covenants and agrees that he will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

Full name of sole or first inventor Hidetaka NATSUME

Inventor's Signature Hidetaka Natsume Date January 7, 2002

Residence Tokyo, Japan Citizenship Japanese

Post Office Address c/o NEC Corporation, 7-1, Shiba 5-chome, Minato-ku, Tokyo, Japan

Full name of second joint inventor, if any \_\_\_\_\_

Second Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_ Citizenship \_\_\_\_\_

Post Office Address \_\_\_\_\_

Takeshi Ueki

Shiro Moto